

# Utility Patent Application Transmittal

For new nonprovisional applications under 37 CFR § 1.53(b)

Attorney Docket Number	10110-5
First Inventor or Application Identifier	Kaoru Kagami
Title	OPTICAL FILTERING MODULE AND OPTICAL DEVICES USING SUCH OPTICAL FILTERING MODULE
Express Mail Label Number	EM372933725US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

Address To: Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

- ☒ \*Fee Transmittal Form (e.g., PTO/SB/17)
2. ☐ Applicant claims small entity status  
See 37 CFR 1.27
3. ☒ Specification [Total Pages **28**]  
(preferred arrangement set forth below)
- Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Investigation
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) **20**
5. Oath or Declaration (unsigned) [Total Pages **3**]
- a. ☐ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))  
(for continuation/divisional with Box 16 completed)
- i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).
6. Application Data Sheet  
See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or computer program (Appendix)
8. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. ☐ Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies) or
- ii. ☐ paper
- c. ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. § 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2B)(B)(I)
17. ☒ Other: Ck # 24778 in the amount of \$ 906.00.

17. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment or in an Application Data Sheet under 37 CFR 1.76:

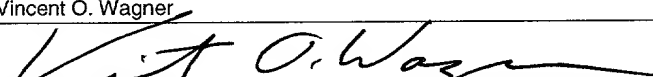
**This new application claims priority of the following Japanese patent applications: #2000-209135 – Japan – filed July 10, 2000; and #2000-399867 – Japan – filed December 28, 2000.**

**or CONTINUATION or DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 18. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label or ☒ Correspondence address below

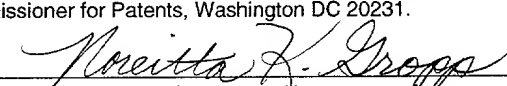
Insert Customer No. or Attach bar code label here

Name	Vincent O. Wagner				
	Woodard, Emhardt, Naughton, Moriarty and McNett				
Address	Bank One Center/Tower				
	111 Monument Circle, Suite 3700				
City	Indianapolis	State	IN	Zip Code	46204-5137
Country	USA	Telephone	317-634-3456	Fax	317-637-7561
Name (Print/Type)	Vincent O. Wagner			Registration No. (Attorney/Agent)	29,596
Signature				Date:	July 9, 2001

Express Mail Label Number EM372933725US

Date of Deposit July 9, 2001

I hereby certify that this paper is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR Section 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington DC 20231.

  
Signature of person mailing paper or fee

**FEE TRANSMITTAL****FOR FY 2001**

Patent fees are subject to annual revision.  
Small Entity payments must be supported by a small entity  
statement, otherwise large entity fees must be paid.  
See Forms PTO/SB/09-12.

**Complete if Known**

Application Number	Filed Herewith
Filing Date	July 10, 2001
First Named Inventor	Kaoru Kagami, et al.
Group Art Unit	
Examiner Name	

**Total Amount of Payment**      **(\$ 906.00)**
**Attorney Docket Number**      10110-5
**Method of Payment (check one)**

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Acct. Name/#      **23-3030 Woodard, Emhardt, Naughton, Moriarty & McNett**

☒ Charge any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check      ☐ Money Order      ☐ Other

**Fee Calculation (continued)****3. ADDITIONAL FEES**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge – late filing fee or oath	
127	50	227	25	Surcharge – late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	220	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive – unavoidable	
141	1,240	241	620	Petition to revive – unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	242	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

**Fee Calculation****1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid \$
101	710	201	355	Utility Filing Fee	<b>\$ 710.00</b>
106	320	206	160	Design Filing Fee	
107	490	207	245	Plant Filing Fee	
108	710	208	355	Reissue Filing Fee	
114	150	214	75	Provisional Filing Fee	

**SUBTOTAL (1)**      **(\$ 710.00)**
**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee From Below	Fee Paid
22	-20**	= 2	X \$ 18.00= <b>\$ 36.00</b>
5	- 3**	= 2	X \$ 80.00= <b>\$160.00</b>

Multiple Dependent

\*\* or number previously paid, if greater; for reissues, see below

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)**      **(\$ 196.00)**

\*reduced by Basic Filing Fee Paid

**SUBMITTED BY**

Typed or Printed Name

**Vincent O. Wagner**

Signature

**Date:****July 9, 2001****Complete (if applicable)**

Reg. Number

**29,596**

Deposit Account User ID

**23-3030****SUBTOTAL(3)****\$**